

3
3753/6 USDECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION

(COMPLETE IF KNOWN)

Application Number	09/507,360
Filing Date	Feb. 18, 2000
Group Art Unit	
Examiner	

Attorney Docket Number	3753/6 US
First Named Inventor	Gottstein

This declaration is (*check one*):

- ☐ submitted with initial filing;
☒ submitted after initial filing;
☐ a supplemental declaration.

This application is of the following type:

- ☒ utility;
☐ design;
☐ national stage of PCT;
☒ divisional, continuation or continuation-in-part.

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (*if only one name is listed below*) or an original, first and joint inventor (*if plural names are listed below*) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**COMPUTERIZED SYSTEM AND METHOD FOR OPTIMIZING
AFTER-TAX PROCEEDS INVOLVING OPTIONS**the specification of which: (*check one*)

- ☐ is attached hereto; or
☒ was filed on Feb. 18, 2000 as U.S. Application No. 09/507,360 and is/was amended on _____ (*if applicable*);
☐ was described and claimed in PCT International Application No. _____, filed on _____ and was amended under PCT Article 19 on _____ (*if applicable*).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby identify below, and where indicated claim foreign priority benefits under Title 35, United States Code §§ 119(a)-(d) or §§ 365(a)-(b) of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country

other than the United States of America, filed within 12 months (6 months for design) prior to this application, and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) on which priority is claimed (*if any*):

Foreign/PCT Application Number	Country	Filing Date (MM/DD/YYYY)	Priority Claimed	
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No
			<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below (*if any*):

Provisional Application No.	Filing Date

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International Application designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

U.S./PCT Parent Application No.	Filing Date	Status (<i>Patented, Pending, or Abandoned</i>)
09/253,453	2/19/1999	Pending
PCT/US00/04283	2/18/2000	Pending

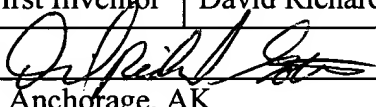
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

As a named inventor, I hereby appoint the following attorney(s) or agent(s) with full power of substitution and revocation to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Seth H. Ostrow, Reg. No. 37,410
Jonathan T. Kaplan, Reg. No. 38,935
Anthony J. Natoli, Reg. No. 36,223
Frederick Yu, Reg. No. 45,251

Frank J. DeRosa, Reg. No. 26,543
Louis J. Greco, Reg. No. 41,799
Katrine A. Levin, Reg. No. 41,941
Karen Nemeth, Reg. No. 46,265

Direct all correspondence to: Brown Raysman Millstein Felder & Steiner LLP
120 West 45th Street
New York, New York 10036
Direct all telephone calls to: (212) 944-1515

Full Name of Sole or First Inventor	David Richard Gottstein		
Inventor's Signature		Date	3/12/00
Residence	Anchorage, AK	Citizenship	US
Post Office Address	2111 Atwood Drive, Anchorage, AK 99517		

Full Name of Second Joint Inventor			
Inventor's Signature		Date	
Residence		Citizenship	
Post Office Address			

(check one) Sheets containing additional joint inventors ☐ are, ☒ are not attached hereto.



4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent and/or Application of:

DYNAMIC RESEARCH GROUP

DECLARATION CLAIMING SMALL ENTITY STATUS
UNDER 37 C.F.R. § 1.9(f) & 1.27(b) - SMALL BUSINESS CONCERN

Assistant Commissioner for Patents
Washington, D.C. 20231

I hereby declare that I am an official of the small business concern and empowered to act on behalf of the concern identified below:

Dynamic Research Group
A Delaware corporation
471 West 36th Avenue, Suite 201
Anchorage, AK 99503

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. Part 121, and reproduced in 37 C.F.R. § 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to any and all patents and patent applications in the United States.

4

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the patents or patent applications is listed below and no rights to the patents or patent applications are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. § 1.9(d) or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a non-profit organization under 37 C.F.R. § 1.9(e).

- ☒ No such individual, concern, or organization exists.
☐ Each such individual, concern, or organization is listed below:

I acknowledge the duty to file, in any associated application or patent therefrom, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application and any patent issuing thereon, or any patent to which this verified statement is directed.

Dynamic Research Group

Date: 3/12/00


Signature

By: David Richard Gottstein

Title: President